

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

**COMMAND INSPECTION PROGRAM****SPECTION CHECKLIST**

Chapter 3, Command Procurements  
X-Number Program

Command: 013	Division: ACLDC	Number: 004
Evaluated by: Jaime Coffee		Date: 12/22/08
Assisted by: Linda Valle		Date: 12/22/08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input checked="" type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature:		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection	Commander's Signature: _____ Date: 12/22/08	
For applicable policy, refer to: HPM 11.1, Chapter 23				
1. Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Does all X Number file documentation contain the STD. 204 Payee Data Record?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
4. Are X Number requests made prior to the date the services are performed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Are X Numbers issued for a one-time use?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Are prohibited services performed using an X Number?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: If 013 required this service for a telephone system, TS would be the section to pre-approve.
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: If 013 required a facility-related service, FS would be the section to pre-approve.
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: This was the case in 2008 when our contract w/Newstrak lapsed and we needed to obtain video.

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM

### INSPECTION CHECKLIST

Chapter 3, Command Procurements

X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Justification was provided on the 78X for the vendor as to why (unable to locate another vendor) only one quote was provided. However, if there were other vendors, three quotes would have been provided.
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: If 013 were to use an X Number for a vendor, we would first obtain the SB cert. from DGS.
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: 013 has not had the need for an emergency service that requires an X Number to be utilized.
15. Is the itemized invoice for each X Number service maintained in the command's files?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Cal-Card Program

Command: 013	Division: ACLDC	Number: 004
Evaluated by: <b>Jaime Coffee</b>		Date: <b>12/22/08</b>
Assisted by: <b>Linda Valle</b>		Date: <b>12/22/08</b>

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input checked="" type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature:		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection		Commander's Signature: _____ Date: <b>12/22/08</b>
For applicable policy, refer to: HPM 11.2, Chapter 3				
1. Are all employees associated with the use of the Cal-Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Does the CHP 317 Cal Card Log fully describe the purchase?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# **COMMAND INSPECTION PROGRAM**

## **INSPECTION CHECKLIST**

Chapter 3, Command Procurements  
Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

Command: <b>013</b>	Division: ACLDC	Number: 004
Evaluated by: <b>Jaime Coffee</b>		Date: <b>12/22/08</b>
Assisted by: <b>N/A</b>		Date: <b>12/22/08</b>

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input checked="" type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature:		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection		Commander's Signature: _____ Date: <b>12/22/08</b>
For applicable policy, refer to: HPM 11.1, Chapter 22				
1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for <u>contract payable</u> listed on the CHP 78?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Is the performance of contract services monitored and documented?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Are all copies of correspondence with the vendor maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Is all work completed and accepted by the Department before expiration of contract agreement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
20. Are contract amendment request dollar amounts increased more than 30%?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

21. Is the length of the contract amendment request more than one year?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks and driver license checks</u> conducted for all of the following types of agreements:  (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Although policy dictates this would be the procedure, to date, OMR has not entered into any of the listed agreements.
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Although policy dictates this would be the procedure, to date, OMR has not entered into any of the listed agreements.

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM

### INSPECTION CHECKLIST

#### Chapter 3, Command Procurements

#### Contracts

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: See above
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: See above
29. Are all invoices, records, and relevant documentation maintained for <u>three years</u> after the final payment of the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: A file is kept up front document any activity related to the Newstrak contract.
31. Is a computer file prepared for all contracts administered?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: " "
32. Is a spreadsheet prepared listing all expenditures?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: " "
33. Is the notification to the contractor documented for the start date for services to begin?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Communications should be in writing or followed up in writing.
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:



STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

**COMMAND INSPECTION PROGRAM**  
**INSPECTION CHECKLIST**

Chapter 3, Command Procurements  
Contracts

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## INSPECTION PROGRAM

Chapter 4  
Fiscal Controls

Command: <b>013</b>	Division: ACLDC	Number: 004
Evaluated by: <b>Jaime Coffee</b>		Date: <b>12/22/08</b>
Assisted by: <b>Fran Clader</b>		Date: <b>12/22/08</b>

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Office of Inspections <input checked="" type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature:	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Follow-Up Inspection		Commander's Signature:	Date: <b>12/22/08</b>
For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2.			
1. Is management actively involved in reviewing and approving paperwork related to receiving and preparing collections?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A	Remarks: Course of duty does not require 013 to receive or prepare collections.	
2. Does the command have Standard Operating Procedures (SOP) to provide necessary guidelines for overall management and accountability of receiving and preparing collections?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A	Remarks:	
3. Does the command have adequate separation of duties for collections received?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A	Remarks:	
4. Does the command have adequate separation of duties for the cash receipt process?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A	Remarks:	
5. Is access to the safe and/or vault appropriately restricted?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A	Remarks:	
6. Does a record exist which identifies who has access to the safe and/or vault and when changes in access occur?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A	Remarks:	
7. Was the lock combination changed when an excess number of employees were aware of the combination, transferred out of the Area, or no longer requires access?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A	Remarks:	
8. Is the safe securely anchored to the building?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A	Remarks:	
9. Are weekly transmittal reports prepared in accordance with departmental policy?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A	Remarks:	
10. Is the weekly transmittal report(s) submitted to Fiscal Management Section (FMS) within five working days following the week covered by the report?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A	Remarks:	

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## INSPECTION PROGRAM

Chapter 4  
Fiscal Controls

11. Does the command submit the following forms with the weekly transmittal when applicable? (1) CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors. (2) CHP 36, Evidence/Property Receipt/Report (Unclaimed Property). (3) STD 634, Absence and Additional Time Worked Report, for jury duty. (4) CHP 221, Malicious Damage Report. (5) CHP 464, Traffic Control Cost Estimate – Advance Deposit. (6) Civil subpoena.	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
12. Is a memorandum for cash shortages prepared if necessary?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
13. Does the command ensure the information written on the counter receipt is complete and legible?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
17. Is sales tax added to items that are not for resale?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
22. Is the CHP 264 properly authorized?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## INSPECTION PROGRAM

Chapter 4  
Fiscal Controls

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
28. Are all petty cash purchases under \$50?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:


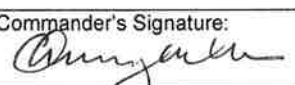
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

## Chapter 3, Command Procurements Purchases

Command: OCOR/015	Division: ACLDC	Number: 2008-0-169
Evaluated by: Sgt. G. Gee, I.D. 11219		Date: Dec. 19, 2008
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:		
<input type="checkbox"/> Division Level	<input checked="" type="checkbox"/> Command Level			
<input type="checkbox"/> Executive Office Level	<input type="checkbox"/> Voluntary Self-Inspection			
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		Commander's Signature:		Date:
<input type="checkbox"/> Follow-up Inspection				Dec. 22, 2008
For applicable policy, refer to: HPM 11.2, Chapter 7				
1. Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Have Approvers/reviewers of purchases received procurement training?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Are prohibited items procured on CHP 43, Purchases Requisitions? <ul style="list-style-type: none"><li>Supplies for personally – owned equipment</li><li>Commodities for personal use</li><li>Confirming order</li><li>Purchases via the internet</li></ul>	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Is all required information entered on the CHP 43, Purchase Requisition?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: OCOR requests are directed to ACLDC.

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM

### INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Purchases

8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are the CHP 43, Purchase Requisitions, competitively bid?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are items checked immediately for content and damage when delivered?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM

### INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:


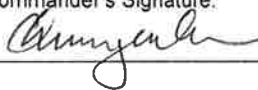
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Cal-Card Program

Command: OCOR/015	Division: ACLDC	Number: 2008-0-169
Evaluated by: Sgt. G. Gee, I.D. 11219		Date: Dec. 19, 2008
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:			
<input type="checkbox"/> Division Level	<input checked="" type="checkbox"/> Command Level				
<input type="checkbox"/> Executive Office Level	<input type="checkbox"/> Voluntary Self-Inspection				
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection	Commander's Signature:		Date:
					Dec. 22, 2008
For applicable policy, refer to: HPM 11.2, Chapter 3					
1. Are all employees associated with the use of the Cal-Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Does the CHP 317 Cal Card Log fully describe the purchase?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:



STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM

### INSPECTION CHECKLIST

Chapter 3, Command Procurements

Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL


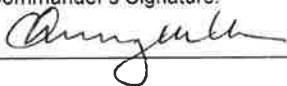
# COMMAND INSPECTION PROGRAM

## INSPECTION CHECKLIST

Chapter 3, Command Procurements  
X-Number Program

Command: OCOR/015	Division: ACLDC	Number: 2008-0-169
Evaluated by: Sgt. G. Gee, I.D. 11219		Date: Dec. 19, 2008
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:		
<input type="checkbox"/> Division Level <input type="checkbox"/> Executive Office Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Voluntary Self-Inspection				
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection		Commander's Signature: 
Date: Dec. 22, 2008				
For applicable policy, refer to: HPM 11.1, Chapter 23				
1. Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Does all X Number file documentation contain the STD. 204 Payee Data Record?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Are X Number requests made prior to the date the services are performed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Are X Numbers issued for a one-time use?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Are prohibited services performed using an X Number?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM

### INSPECTION CHECKLIST

Chapter 3, Command Procurements

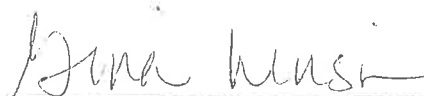
X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Command: 014-OOD	Division: ACLDC	Chapter: #3 Command Procurement
Inspected by: Gina Linson		Date: 12/18/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input type="checkbox"/> No	Forward to: ACLDC  Due Date: 12/26/2008	Commander's Signature: 	Date: 12/19/08
Chapter Inspection:			
Inspector's Comments Regarding Innovative Practices:			

Command Suggestions for Statewide Improvement:

None at this time.

Inspector's Findings:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
EXCEPTIONS DOCUMENT  
Page 2

Command: 014-000	Division: 4CLDC	Chapter: #3
Inspected by: G. Linsan		Date: 12/19/08

Commander's Response:

Inspector's Comments:

Required Action

Corrective Action Plan/Timeline

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**  
Page 3

Command: 014	Division: ACUDC	Chapter: 3
Inspected by: G. LUNSEN		Date: 12/19/08

Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

Appeal Review/Decision: *(This shall be the only level of appeal).*

Lead Inspector's Signature:

Date:

Responding Commander's Signature (for appeal):

Date:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Purchases

Command: OOD	Division: ACLDC	Number: 014
Evaluated by: Gina Linson		Date: 12/18/2008
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature:		
Follow-up Required: <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Follow-up Inspection		Commander's Signature:		Date:
For applicable policy, refer to: HPM 11.2, Chapter 7				
1. Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Have Approvers/reviewers of purchases received procurement training?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Are prohibited items procured on CHP 43, Purchases Requisitions? <ul style="list-style-type: none"><li>Supplies for personally – owned equipment</li><li>Commodities for personal use</li><li>Confirming order</li><li>Purchases via the internet</li></ul>	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Is all required information entered on the CHP 43, Purchase Requisition?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Purchases

8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are the CHP 43, Purchase Requisitions, competitively bid?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: OOD has not had to utilize the NCB process.
14. Are items checked immediately for content and damage when delivered?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Are Damaged items delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:



STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:


STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# **COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST**

Chapter 3, Command Procurements  
Cal-Card Program

Command: OOD	Division: ACLDC	Number: 014
Evaluated by: Gina Linson		Date: 12/15/08
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:			
<input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection					
Follow-up Required: <input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection		Commander's Signature: 	
		Date: 12/19/08			
For applicable policy, refer to: HPM 11.2, Chapter 3					
1. Are all employees associated with the use of the Cal-Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Does the CHP 317 Cal Card Log fully describe the purchase?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM

### INSPECTION CHECKLIST

Chapter 3, Command Procurements

Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

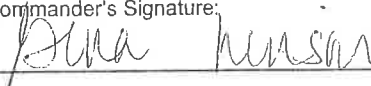
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

Command: OOD	Division: ACLDC	Number: 014
Evaluated by: Gina Linson		Date: 12/15/08
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:			
<input type="checkbox"/> Division Level <input type="checkbox"/> Executive Office Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Voluntary Self-Inspection					
Follow-up Required: <input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection		Commander's Signature: 	
		Date: 12/19/08			
For applicable policy, refer to: HPM 11.1, Chapter 22					
1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78?		<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Is the performance of contract services monitored and documented?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Are all copies of correspondence with the vendor maintained?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM

### INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Is all work completed and accepted by the Department before expiration of contract agreement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: This has not occurred within OOD.
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: This has not occurred within OOD, but the process would be followed.
20. Are contract amendment request dollar amounts increased more than 30%?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM

### INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

21. Is the length of the contract amendment request more than one year?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks and driver license checks</u> conducted for all of the following types of agreements:  (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: OOD does not contract for this type of service.
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: OOD does not contract for this type of service.

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements  
Contracts

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained for <u>three years</u> after the final payment of the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. I, Ch. 4, Section 4.09)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  
**COMMAND INSPECTION PROGRAM**  
**INSPECTION CHECKLIST**  
Chapter 3, Command Procurements  
X-Number Program

Command: OOD	Division: ACLDC	Number: 014
Evaluated by: Gina Linson		Date: 12/18/2008
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature:		
Follow-up Required: <input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection		Commander's Signature:      Date:
For applicable policy, refer to: HPM 11.1, Chapter 23				
1. Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Does all X Number file documentation contain the STD. 204 Payee Data Record?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Are X Number requests made prior to the date the services are performed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Are X Numbers issued for a one-time use?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Are prohibited services performed using an X Number?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: OOD is housed within the Academy, so X-numbers of this type would not be requested.
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:



STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM

### INSPECTION CHECKLIST

Chapter 3, Command Procurements

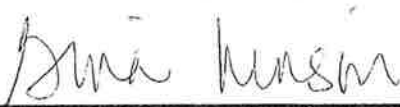
X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

**COMMAND INSPECTION PROGRAM  
EXCEPTIONS DOCUMENT**

Command: <b>014-OOD</b>	Division: ACLDC	Chapter: #4 Fiscal Controls
Inspected by: Gina Linson <b>Gina Linson</b>		Date: 12/16/2008 <b>12/18/2008</b>

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: 	Date: <b>12/19/08</b>
Chapter Inspection:			
Inspector's Comments Regarding Innovative Practices:			

Command Suggestions for Statewide Improvement:

None at this time.

Inspector's Findings:

**COMMAND INSPECTION PROGRAM**

**EXCEPTIONS DOCUMENT**

Page 2

Command: 014	Division: ACLDC	Chapter: #4
Inspected by: Gina Linson		Date: 12/18/2008

Commander's Response:

Inspector's Comments:

Required Action

Corrective Action Plan/Timeline

**COMMAND INSPECTION PROGRAM**

**EXCEPTIONS DOCUMENT**

Page 3

Command: 014	Division: ACLDC	Chapter: 4
Inspected by: Gina Linson		Date: 12/18/2008

Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

Appeal Review/Decision: *(This shall be the only level of appeal).*

Lead Inspector's Signature:	Date:
Responding Commander's Signature (for appeal):	Date:

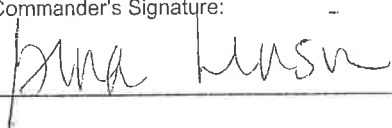
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## INSPECTION PROGRAM

Chapter 4  
Fiscal Controls

Command: OOD	Division: ACLDC	Number: 014
Evaluated by: Gina Linson		Date: 12/18/2008
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Office of Inspections <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature:		
Follow-up Required: <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Follow-Up Inspection	Commander's Signature: 	Date: 12/19/08	
For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2.				
1. Is management actively involved in reviewing and approving paperwork related to receiving and preparing collections?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
2. Does the command have Standard Operating Procedures (SOP) to provide necessary guidelines for overall management and accountability of receiving and preparing collections?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
3. Does the command have adequate separation of duties for collections received?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
4. Does the command have adequate separation of duties for the cash receipt process?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
5. Is access to the safe and/or vault appropriately restricted?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
6. Does a record exist which identifies who has access to the safe and/or vault and when changes in access occur?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
7. Was the lock combination changed when an excess number of employees were aware of the combination, transferred out of the Area, or no longer requires access?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
8. Is the safe securely anchored to the building?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
9. Are weekly transmittal reports prepared in accordance with departmental policy?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
10. Is the weekly transmittal report(s) submitted to Fiscal Management Section (FMS) within five working days following the week covered by the report?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## INSPECTION PROGRAM

### Chapter 4

#### Fiscal Controls

11. Does the command submit the following forms with the weekly transmittal when applicable? (1) CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors. (2) CHP 36, Evidence/Property Receipt/Report (Unclaimed Property). (3) STD 634, Absence and Additional Time Worked Report, for jury duty. (4) CHP 221, Malicious Damage Report. (5) CHP 464, Traffic Control Cost Estimate – Advance Deposit. (6) Civil subpoena.	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: This command handles CHP 634's only. All processes are followed.
12. Is a memorandum for cash shortages prepared if necessary?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
13. Does the command ensure the information written on the counter receipt is complete and legible?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
17. Is sales tax added to items that are not for resale?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
22. Is the CHP 264 properly authorized?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**INSPECTION PROGRAM**

## Chapter 4

## Fiscal Controls

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
28. Are all petty cash purchases under \$50?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:


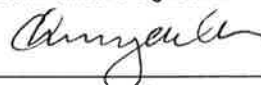
STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## INSPECTION PROGRAM

Chapter 4  
Fiscal Controls

Command: Ocor/015	Division: ACLDC	Number: 2008-0-169
Evaluated by: Sgt. G. Gee, I.D. 11219		Date: Dec. 19, 2008
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Office of Inspections <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Follow-Up Inspection		Commander's Signature: 	Date: Dec. 22, 2008
For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2.			
1. Is management actively involved in reviewing and approving paperwork related to receiving and preparing collections?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks: OCOR's existing organizational and administrative structure precludes the need or requirement for a collections process.
2. Does the command have Standard Operating Procedures (SOP) to provide necessary guidelines for overall management and accountability of receiving and preparing collections?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks:
3. Does the command have adequate separation of duties for collections received?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks:
4. Does the command have adequate separation of duties for the cash receipt process?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks:
5. Is access to the safe and/or vault appropriately restricted?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks:
6. Does a record exist which identifies who has access to the safe and/or vault and when changes in access occur?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks:
7. Was the lock combination changed when an excess number of employees were aware of the combination, transferred out of the Area, or no longer requires access?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks:
8. Is the safe securely anchored to the building?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks:
9. Are weekly transmittal reports prepared in accordance with departmental policy?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks:
10. Is the weekly transmittal report(s) submitted to Fiscal Management Section (FMS) within five working days following the week covered by the report?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks:



STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## SPECTION PROGRAM

### Chapter 4

#### Fiscal Controls

11. Does the command submit the following forms with the weekly transmittal when applicable? (1) CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors. (2) CHP 36, Evidence/Property Receipt/Report (Unclaimed Property). (3) STD 634, Absence and Additional Time Worked Report, for jury duty. (4) CHP 221, Malicious Damage Report. (5) CHP 464, Traffic Control Cost Estimate – Advance Deposit. (6) Civil subpoena.	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
12. Is a memorandum for cash shortages prepared if necessary?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
13. Does the command ensure the information written on the counter receipt is complete and legible?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
17. Is sales tax added to items that are not for resale?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
22. Is the CHP 264 properly authorized?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA  
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## SPECTION PROGRAM

Chapter 4  
Fiscal Controls

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
28. Are all petty cash purchases under \$50?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: